IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of   :   Brian A. Weston et al.

App. No.   :   09/476,935   Examiner: To Be Assigned

Filed   :   December 30, 1999   Group Art Unit: To Be Assigned

Title   :   SYSTEM AND METHOD FOR IMPLEMENTING FOREIGN
                           EXCHANGE CURRENCY FORWARDS

RECEIVED
DEC 0 9 2002
GROUP 3600

Assistant Commissioner for Patents
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

The applicants respectfully submit herewith an Information Disclosure Statement (IDS), an Information Disclosure Citation List, and a copy of each document listed therein, pursuant to 37 C.F.R. §§ 1.97 and 1.98. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing the enclosed Citation List adjacent the citation of each document. Please return a copy of the initialed Citation form to the applicant's undersigned Attorney.

I.   ( ) **This IDS is being filed under 37 CFR 1.97(b). Thus, no fee is due.**

( ) This IDS is being filed within three months of the filing date of a national application other than a continued prosecution application (CPA).

( ) This IDS is being filed within three months of the date of entry of the national stage in an international application.

(X) This IDS is being filed before the mailing date of a first Office Action on the merits.

( ) This IDS is being filed before the mailing of a first Office Action after the filing of a request for continued examination (RCE).
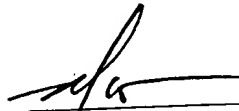
1

Statement under 37 CFR 1.97(e)(1)

Each item of information contained in the IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the IDS.

The Commissioner is hereby authorized to charge the fee of $0.00, and to charge any deficiency, or to credit any overpayment, to the undersigned attorney's Deposit Account No. 02-4270.

Respectfully submitted,

Dated: 15 August 2001

Matthew J. Marquardt
Reg. No.: 40,997
Attorney for Applicant
BROWN RAYSMAN MILLSTEIN
 FELDER & STEINER LLP
900 Third Avenue
New York, New York 10022
(212) 895-2000

I hereby certify that this paper is being deposited this date with the U.S. Postal Service as First Class Mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

MATTHEW MARQUARDT   _15 Aug 2001_
(Enter Name Here)   Date

2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : WESTON et al.

Serial No. : 09/476,935

Filed : 30 December 1999

Title : SYSTEM AND METHOD FOR IMPLEMENTING FOREIGN EXCHANGE CURRENCY FORWARDS

Examiner : KYLE, Charles R.   Group Art Unit: 3624

BY HAND DELIVERY
Art Unit 3624
Commissioner for Patents
Washington, D.C. 20231

THIRD INFORMATION DISCLOSURE STATEMENT

Applicants respectfully submit herewith the attached Information Disclosure Citation List, and a copy of the document listed therein. The Examiner is requested to consider the enclosed document, make it of record, and indicate his or her consideration of the document by initialing the enclosed Citation List adjacent the citation of that document. Please return a copy of the initialed Citation form to the applicant's undersigned Attorney.

The Broka reference cited in the attached Citation List, US 5,809,483, discloses a computer interface for use by an authorizing participant in authorizing access by traders to a bond trading system (Fixed Income Pricing System, or FIPS). An "authorizer" who is allowed to authorize participants access to the system may select an "Authorize Participant" function, which causes the system to display an Authorize Participant window. (Col. 23, lines 20 – 26; Figs. 49 and 51.) An authorized participant's access can also be controlled by the authorizer using the Authorized Participant window. If for example the authorizer selects a "Suspend" button, the bond trading system immediately suspends all quote activity for the participant on the bond trading system, on all issues. (Col. 23, lines 37 – 45.) When the authorizer selects a "Resume" button, the bond trading system

1

BRMFS1 365829v1

"reserves" the quote activity. (Col. 23, lines 45 – 46.) The Authorize Participant window also allows an authorizer to set dates and times a participant is suspended from trading and can resume trading in particular issues. (Col. 24, lines 1 – 13; Fig. 53.)

Broka does not disclose or suggest systems, methods, or computer programming for conducting electronic trading of foreign exchange forwards, wherein at least one server mediates currency trades between traders by consulting pre-set trading configurations associated with each trader, wherein pre-set trading configurations include temporary restrictions on a specified trader set by a first trader to put the specified trader into a penalty box state, as claimed by Applicants.

It is submitted that each of the pending claims is allowable over Broka, taken alone or in combination with any other cited reference(s) of record or identified to Applicants by the Examiner.

This IDS is being filed after the mailing date of the first office action on the merits. A firm check in the amount of $180 is enclosed. The Commissioner is hereby authorized to charge any deficiency in fees which may be required during the entire pendency of this application, or to credit any overpayments, to the undersigned attorney's Deposit Account No. 02-4270.

Applicants request that any questions concerning this matter be directed to the undersigned at (212) 895-2906.

Respectfully submitted,

Dated: 12 December 2002

Matthew J. Marquardt, Reg. No. 40,997
BROWN RAYSMAN MILLSTEIN
   FELDER & STEINER LLP
900 Third Avenue
New York, New York 10022
(212) 895-2000
(212) 895-2900 FAX

2